

Memorandum

To: Chairman and Commissioners

June 1, 2000

From: Robert I. Remen

**Book Item 4.4b
Information**

Ref: Notice of Proposed Amendments to STIP Guidelines

Issue:

How shall the Commission amend its STIP Guidelines prior to programming for the 2000 STIP Augmentation?

Recommendation:

Commission staff has developed the attached draft amendments to the guidelines for notice at the June meeting and adoption at the July meeting. The draft amendments have been developed in response to input and direction from the Commission.

Background:

The Commission has, in accordance with statute, adopted guidelines for the development, adoption, and amendment of the State Transportation Improvement Program (STIP). Those guidelines were last amended in September 1999. The statutes specify that the Commission's STIP Guidelines are not to be amended or altered during the period from 30 days after the adoption of a fund estimate until the adoption of the STIP. The guidelines themselves specify that the Commission will adopt amendments only after giving notice and conducting at least one public hearing.

Summary:

The proposed guideline amendments include the following provisions:

- Environmental only projects. Would add language to Section 15 to clarify and emphasize the Commission's recognition of the benefit of programming projects for environmental work only.
- Local road rehabilitation project scope. Would add language to Section 37 to clarify and emphasize the Commission's encouragement of broadly defined project scopes for local road rehabilitation projects, so as to maximize a city or county's authority to use allocated funds for such rehabilitation work anywhere within its jurisdiction.
- 2000 STIP Augmentation schedule. Would add a new Section 63A to outline the schedule for the 2000 STIP Augmentation, with adoption scheduled for the December 6-7, 2000 meeting.
- Accelerated programming. Would add a new Section 63B to permit the programming and allocation of STIP augmentation funds for ready-to-go projects prior to the December adoption of the full STIP Augmentation, noting the Commission's intent that the funding and delivery of projects not be delayed by the programming process itself.

PROPOSED AMENDMENTS TO STIP GUIDELINES

Amend Section 15 to read:

15. ~~Full and Partial Funding.~~ ***Programming Project Components Sequentially.***
Project components may be programmed sequentially. That is, a project may be programmed for ~~project development~~ ***environmental work only without being programmed for plans, specifications, and estimates (design).*** A project may be ***programmed for design*** without being programmed for right-of-way or construction. A project may be programmed for right-of-way without being programmed for construction. ***The Commission recognizes a particular benefit in programming projects for environmental work only, since projects costs and particularly project scheduling often cannot be determined with meaningful accuracy until environmental studies have been completed. The premature programming of post-environmental components can needlessly tie up STIP programming resources while other transportation needs go unmet.*** ~~However, the~~

The Commission will program a project component only if it finds that the component itself is fully funded, either from STIP funds or from other committed funds. The Commission will regard non-STIP funds as committed when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For Federal formula funds, including RSTP, CMAQ, and Federal formula transit funds, the commitment may be by Federal TIP adoption. For Federal discretionary funds, the commitment may be by Federal approval of a full funding grant agreement or by grant approval.

~~Before~~ ***When*** proposing to program a project's ***only preconstruction*** components ~~sequentially~~ ***for a project***, Caltrans or the regional agency should demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan.

All regional agencies with rail transit projects shall submit full funding plans describing each overall project and/or useable project segment. Each plan shall list Federal, State, and local funding categories by fiscal year over the time-frame that funding is sought, including funding for initial operating costs. Moreover, should the project schedule exceed the funding horizon, then the amount needed beyond what is currently requested shall be indicated. This information may be incorporated in the project fact sheets (see section 39 of these guidelines).

~~The Commission will regard non-STIP funds as committed when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For Federal formula funds, including RSTP, CMAQ, and Federal formula transit funds, the commitment may be by Federal TIP adoption. For Federal discretionary funds, the commitment may be by Federal approval of a full funding grant agreement or by grant approval.~~

Amend Section 37 to read:

37. Project Description. The STIP will include the following information for each project, which should be included in the RTIP or ITIP proposing the project:
- (a) The name of the agency responsible for project implementation.
 - (b) The project title, which should include a brief nontechnical description of the project location and limits (community name, street name, etc.), and a phrase describing the type and scope of the project. *Where an agency proposes a project for rehabilitation of local streets and roads, the Commission encourages the agency to describe the project simply in terms of the jurisdiction of the city or county rather than name individual streets and roads, thus providing greater flexibility in project scope.*
 - (c) A unique project identification number provided by Caltrans.
 - (d) For projects on the State highway system, the route number and post-mile (or post-kilometer) limits.
 - (e) Any appropriate funding restriction or designation, including projects requiring Federal funds through the State Highway Account.
 - (f) The source and amounts of local or other non-STIP funds, if any, committed to the project.

After Section 63, add the following:

- 63A. 2000 STIP Augmentation Schedule. *The Commission will approve a 2000 STIP Augmentation according to the following special schedule:*

<i>CTC adopts Augmentation Fund Estimate.</i>	<i>June 14-15, 2000 meeting.</i>
<i>Regions submit RTIPs.</i>	<i>By September 29, 2000.</i>
<i>Caltrans submits ITIP.</i>	<i>By September 29, 2000.</i>
<i>CTC STIP hearings.</i>	<i>Oct. – Nov. 2000, to be scheduled.</i>
<i>CTC publishes staff recommendations.</i>	<i>November 16, 2000.</i>
<i>CTC adopts 2000 STIP Augmentation.</i>	<i>December 6-7, 2000 meeting.</i>

- 63B. Accelerated Programming. *It is the Commission's intent that the funding and delivery of potential STIP projects not be delayed by the schedule for the 2000 STIP Augmentation. Therefore, the Commission will consider approval of STIP amendments and allocations using the funds made available by the 2000 Fund Estimate augmentation immediately, provided that the projects or project components proposed for amendment are ready for allocation at the time of the amendment. This provision shall apply until the adoption of the 2000 STIP Augmentation.*